



PROCEDURES AND REQUIREMENTS

LOCAL GOVERNMENT HOUSEHOLD HAZARDOUS WASTE GRANT FISCAL YEAR 2002/03



Integrated
Waste
Management
Board

SEPTEMBER 2002

DATE	ACTIVITY
September 1, 2002 to March 31, 2005	Grant term
September 1, 2002	Grant recipients begin performance of grants
April 15, 2003	First Progress Report due
October 15, 2003	Second Progress Report due
April 15, 2004	Third Progress Report due
October 15, 2004	Fourth Progress Report due
March 31, 2005	Close of grant term
April 30, 2005	Final Report and Payment Request due – <u>NO EXTENSIONS WILL BE GRANTED.</u>

**California Integrated Waste Management Board
Household Hazardous Waste Grant
Procedures and Requirements September 2002
Fiscal Year 2002/03**

Public Resources Code Section 47200 authorizes the California Integrated Waste Management Board (CIWMB) to award grants annually to local government agencies for programs that reduce the amount of Household Hazardous Waste (HHW) disposed at solid waste landfills. This document provides the Procedures and Requirements for the HHW grants awarded by the CIWMB and is incorporated by reference into the HHW Grant Agreement.

Questions?	Please direct any questions regarding this document or other HHW Grant Agreement documents to your Grant Manager at their direct telephone number, or at (916) 341-6457.
Where to send reports, payment requests, etc.	<p>Send your reports, payment requests, and all other written correspondence to your Grant Manager's attention at:</p> <p style="text-align: center;">Used Oil/HHW Branch Special Waste Division, MS-21 California Integrated Waste Management Board 1001 I Street, P.O. Box 4025 Sacramento, CA 95812-4025</p>
Eligible costs	All costs must be only for activities, products, and costs included in the approved Budget and Work Statement, and must be incurred within the grant term. Please contact your Grant Manager if you have any questions concerning eligible costs.
Ineligible costs	<p>Any costs not included in your approved Budget are ineligible for reimbursement. If you have any questions regarding ineligible costs, contact your Grant Manager. Ineligible costs include, but are not limited to the following:</p> <ul style="list-style-type: none">• Costs incurred outside the grant term (prior to September 1, 2002 or after March 31, 2005).• Costs not identified in the approved Work Statement or Budget.• Costs currently covered by another CIWMB loan or grant.• Costs to maintain existing HHW programs.• Purchasing or leasing of land.• Purchasing or leasing of vehicles by non-governmental agencies.• Remediation.• Enforcement activities.

- Managing, handling, disposing, or treating of radioactive, explosive, or medical waste and other extremely hazardous waste. (Sharps programs are eligible if they are integrated into proposed or existing HHW collection programs.)
- Overtime costs (except for local government staffing during evening or weekend events when law or labor contract requires overtime compensation).
- Out-of-state travel.
- Any food or beverages (e.g. as part of meetings, workshops, training, or events).
- Preparation of HHW Elements.
- Public education costs not directly tied to HHW collection.
- Profit or markup by the Grantee. Profit is allowed to contractors and subcontractors for services and products when Grantee follows the competitive bidding process or their local purchasing laws and regulations.
- Any costs that are not consistent with local, state, and federal guidelines or regulations, and laws.
- Cell phones, pagers, and palm pilots.
- Development of school curricula.
- Travel reimbursement that exceeds the state rate.

Recycled Content Requirements

All Grantees must report the percentage of recycled content material for products purchased in the following product categories. Grantees must use a separate Recycled Content Certification Form, included as page 11, for **each supplier** and submit these forms with **each progress report**.

Additionally, the items listed below must meet specific percentages regarding the amount of recycled content in the item (see page 12).

Paper Products	Printing & Writing Paper	Plastic Products
Compost & Co-Compost	Glass Products	Lubricating Oils
Paint	Solvents	Tire-Derived Products
Tires	Steel Products	

Any exceptions to the above requirements must be pre-approved by your Grant Manager.

Recycled Content Procurement (RCP) information is available for some items commonly purchased through Household Hazardous Waste Grants at <http://www.ciwmb.ca.gov/hhw/forms/>. More information regarding RCP vendors and contractors may be found at: www.ciwmb.ca.gov/buyrecycled/rcp. Lastly, for information about the Board's *Buy Recycled Program*, visit: www.ciwmb.ca.gov/BuyRecycled.

Publicity & Educational Materials

All Publicity and Educational (P&E) materials must be submitted to your Grant Manager for written approval prior to production. Materials or items purchased, or activities attended without your Grant Manager's pre-approval may be denied for reimbursement. All items must include the following:

- Specific information on HHW recycling/disposal.
- A list of HHW collection locations or a 24-hour hotline number. When locations are listed, include the following language: "Call for hours of operation and types of materials accepted".
- **Acknowledgement of CIWMB funding that reads "Funded by a Grant from the California Integrated Waste Management Board." There are two acceptable Spanish translations "Financiado por una beca del California Integrated Waste Management Board" or "Patrocinado por fondos del California Integrated Waste Management Board." Use of the initials "CIWMB" is not sufficient. Exception: The acknowledgement line is not required on small items where space constraints would not allow for this line, or if it would interfere with the message (pencils, storm drain stencils, radio spots, etc.). All exceptions must be pre-approved in writing by your Grant Manager.**
- All P&E materials must meet the RCP content requirements as stated on pages 11 and 12 of this document.

Obtaining Approval

For printed material:

- Allow a minimum of five (5) business days for your Grant Manager to review and approve materials. For all languages other than English, you must work with a certified translator or other person fluent in reading and writing the other language before submitting the material to your Grant Manager. Grant Managers will review these materials for graphics and formatting issues (i.e., inclusion of oil drop logo, CIWMB acknowledgement line, etc.) and give written approval or suggest changes. Please describe the translator's qualifications and send a copy of the material in English along with your request.
- If a consultant or graphic artist is submitting material directly to your Grant Manager for approval, approval from the Grantee must also be submitted with the material.
- Materials approved under another grant must be reviewed and approved by your Grant Manager to determine if the material is appropriate for this grant.
- All materials must be submitted as a complete package for Grant Manager review.
- If changes are requested, incorporate them and submit a revised draft for approval prior to production.

For videos, television ads and radio ads:

- In addition to the above requirements, you must submit a script to your Grant Manager for prior written approval.
- Submit a final draft in the appropriate media format (VHS format for videos and television ads and cassette tape or compact disc for radio ads) to your Grant Manager for written approval prior to production.

Proof of Purchase

- Include one (1) original copy of each premium item(s) and two (2) original copies of all other P&E items/materials with the Final Report.

- Submit two (2) photographs from different angles of large items such as equipment, structures or other items that cannot fit into a legal dimension archive box.
- Keep one (1) original of all materials purchased or produced along with the invoice and all other supporting documents for audit purposes.

Clearinghouse

The CIWMB has a clearinghouse of premiums and educational materials produced over the years with Used Oil and HHW grant funds. Given the number of items received, the CIWMB Staff have selected a group of P&E materials which staff have determined to have particular merit. **However, these selected items are meant to only provide ideas, concepts, and information; they may not meet the current required color schemes or proper verbiage.** All premiums and educational materials are subject to an audit and therefore must have your Grant Manager's written pre-approval and meet all the CIWMB requirements. You can view the selected items at

[<http://www.ciwmb.ca.gov/HHW/Clearinghouse/>](http://www.ciwmb.ca.gov/HHW/Clearinghouse/)

Copyrights, Trademarks, Patents, Etc.

Copyrights, trademarks, patents, etc. for anything produced with grant funds, including materials created by a contractor or vendor, become the property of the CIWMB. For additional information consult the Terms and Conditions or contact your Grant Manager.

Reporting

Your Grant Manager may request a report at any time and has the authority to immediately suspend or terminate the Grant Agreement if reports are not submitted or progress is unsatisfactory.

Only **one** (1) double-sided copy of each Progress Report and the Final Report is required.

The lead jurisdiction for a regional project has sole responsibility for reporting on the regional project.

Reporting & Expenditure Categories

When preparing reports and Payment Requests, all expenses must be reported in one of the categories below. All personnel time must be placed under the "Personnel/Other" Category.

- **Permanent Collection Facilities:** Costs for the establishment, expansion, or operation of permanent HHW collection facilities including equipment, supplies, and transportation costs from these facilities. Costs for recycle-only facilities should also be included in this category.
- **Temporary or Mobile Collection Facilities:** Costs for one-day, intermittent events, or mobile collection (other than residential collection) of HHW.
- **Residential Collection:** Costs for the establishment, continuation, or expansion of curbside or door-to-door collection of HHW.
- **Publicity and Education:** Costs for the development, printing, and distribution of P&E materials that promote the HHW collection opportunities funded through this grant cycle.
- **Load checking:** Costs for inspection of loads for HHW at solid waste landfills or transfer stations. Costs for the containment of HHW (permanent or semi-permanent structure) should also be included here.
- **Personnel/Other:** All personnel costs or other eligible expenditures that cannot be assigned to any of the above listed categories. See "Overhead and Indirect Costs" section for overhead conditions.

Progress Reports

A Progress Report must be submitted with each Payment Request. In addition, a Progress Report must be submitted according to the schedule below, even if there are no expenses to be claimed. The Progress Reports are due as follows:

Grant Activity Period	Report Due Date
September 1, 2002 – February 28, 2003	April 15, 2003
March 1, 2003 – August 31, 2003	October 15, 2003
September 1, 2003 – February 29, 2004	April 15, 2004
March 1, 2004 – August 31, 2004	October 15, 2004

Each Progress Report must include:

1. The grant number, Grantee's name, and reporting period.
2. A signed Payment Request (if applicable). See page 6 for instructions.
3. Provide one (1) original copy of each premium item(s) and two (2) originals of all final P&E items (e.g. ads, brochures, surveys, etc.) with each Progress Report. If the item is large (container, oil change mat, or any item that cannot fit into a legal dimension archive box), submit two (2) photographs of the item from different angles.
4. A summary of all work completed since the previous Progress Report arranged by the Reporting and Expenditure Categories as shown in your approved Budget Itemization.
5. A discussion of work to be conducted during the next reporting period. If necessary, discuss any adjustments that might be needed to the Work Statement or Budget.

Final Report

The Final Report along with the Final Payment Request is due April 30, 2005. Payment Requests received after this date will not be paid. No extensions will be granted.

The Final Report includes:

1. The grant number and Grantee's name.
2. A Final Payment Request. To complete this form, see page 6 for instructions.
3. Describe all efforts that were undertaken, continued, and completed during the entire term of the grant (September 1, 2002 through March 31, 2005). Your Final Report must be arranged by the Reporting and Expenditure Categories shown in your approved Budget Itemization. In addition, the following must be addressed, as applicable:

For Permanent and Temporary/Mobile Collection Facilities:

- a) Number of participants at each facility for the grant term.
- b) Amount in pounds (oil can be reported in gallons) and material type(s) collected at each facility for the grant term.
- c) Number of days of operation during the grant term.

For Residential Collection Programs:

- a) Number of curbside/door-to-door stops for the grant term, **or** number of households served by curbside collection (if number of stops are not tracked) during the grant term.
- b) Amount in pounds (oil can be reported in gallons) and material type(s) collected during grant term.

For P&E efforts:

- a) Who was your target audience?
- b) Number of community events attended during the grant term and number of people stopping at your booth.

- c) Number of school presentations conducted during the grant term and number of students participating.
- d) Materials developed (e.g. door hangers, billboards) and distributed (include distribution method) during the grant term.
- e) Total number of people reached as a result of this grant.
- f) Describe the method used to get this estimate. Why did you choose this approach?

For Load Checking Programs:

- a) Frequency of inspections during grant term.
- b) Number of vehicles through the program during scheduled operation for the reporting period.
- c) Amount in pounds (oil can be reported in gallons) and material type(s) collected during the grant term.

4. Evaluate the outcome of the grant. Please quantify/describe the following:
 - Did you see a decrease of illegal dumping incidents?
 - Did the amount of HHW collected increase?
 - Were any statistical tests completed or questionnaires used to evaluate the effectiveness of the project?
 - Describe findings, conclusions, and recommendations for follow-up or ongoing activities and how they affect future development of your program.
 - Evaluate your successes or failures, and the cost effectiveness of your efforts.
 - How did the actual outcome compare to the desired outcome?

Note: For more on evaluation see <http://www.ciwmb.ca.gov/UsedOil/EvalGuide/>.

5. Include one (1) copy of all P&E items not previously submitted. For large items such as equipment or structures please submit two (2) photographs from different angles.
6. Include a Recycled Content Certification Form(s) that includes all items purchased with grant funds. A separate form should be completed for each vendor/contractor that goods were purchased from. The form can be accessed at: <http://www.ciwmb.ca.gov/HHW/Forms/>.
7. List all contractors, subcontractors, and vendors that were used. For each, include a name, address, phone number, and a brief statement of work.

Payment Request

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the approved project. Payment will be made only for costs described in the approved Budget Itemization.

A Payment Request may be submitted anytime there is a reasonable amount of funds to claim (over \$1,000). A Progress Report must accompany each Payment Request.

- Your Payment Request will be approved when your Grant Manager determines that it is complete and accurate, and all required reports have been submitted and approved.
- Payments will be made to the Grantee only.
- **Ten percent (10%) will be deducted from each Payment Request and paid at the end of the grant term when all reports and conditions stipulated in the Grant Agreement have been satisfactorily completed.**
- This is a reimbursement grant; however, requests for advance payment will be considered under special circumstances. If an advance is granted, monies must be placed in an interest bearing account and you must report the interest accrued with each Payment Request, Progress Report and Final Report. Contact your Grant Manager for further information.
- **The Final Payment Request is due April 30, 2005. (THIS DATE IS FIRM, NO EXCEPTIONS CAN OR WILL BE MADE.) Funds cannot be reallocated after this date.**

Required Payment Request Documents

All forms can be downloaded from the CIWMB's website as indicated below, or you can contact your Grant Manager for copies. A complete Payment Request must include the following items in the order listed:

1. **Payment Request Form** - This form must be signed by the individual authorized in the resolution. Please remember to type or print the individual's name and title below the signature. <http://www.ciwmb.ca.gov/Grants/Forms/Payment.doc>.
2. **Expenditure Itemization** - All expenditures must be itemized and arranged by the Reporting and Expenditure Categories for your grant as it was approved.
3. **Supporting Documentation** - Submit documentation for all costs claimed on the Payment Request. Types of acceptable documentation include:
 - a) **Invoices/Receipts** - Must include the vendor's name, telephone number, address, and a description of goods or services purchased, amount due, and date when goods or services were provided.
 - If only claiming a portion of an invoice or receipt, highlight the amount billed to this grant and the funding source for the remaining portion (e.g., another CIWMB grant, local funds).
 - b) **Personnel Expenditure Summary Forms** - Document personnel expenditures based on actual time spent on grant related activities. These forms are not required if you have an alternate time reporting method approved by your Grant Manager. <http://www.ciwmb.ca.gov/Grants/Forms/Expend.doc>.

- c) **Travel Expense Logs** - Document costs related to travel and include supporting documentation. <http://www.ciwmb.ca.gov/Grants/Forms/travel.xls>.

4. **Progress Report** - Submit a Progress Report covering the same time period for which you are claiming reimbursement.

Services Rendered

Goods or services must be paid for and received within the term of the grant to be eligible for reimbursement. Proof of delivery is required before your Grant Manager will approve the Final Payment. Grantees should retain this documentation for audit purposes. Questions regarding specific situations should be directed to your Grant Manager.

Audits

Grantees are required to use Generally Accepted Accounting Principles in documenting expenditures.

The Grantee agrees that the CIWMB, the Department of Finance, the Bureau of State Audits, or their designated representative(s) shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. The Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute or audit, whichever is later. The Grantee agrees to allow the designated representative(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the State to audit records and interview staff in any contract or subcontract related to performance of the Agreement.

The best way to ensure an "audit-proof" grant is to share the grant documents with your Finance or Accounting Department. It is recommended that all documents related to this grant be kept together in one folder. Examples of audit documentation include, but are not limited to:

- Expenditure ledgers,
- Payroll register entries, time sheets (must include tracking by task), or Personnel Expenditure Summary Forms,
- Travel Expense Logs,
- Paid warrants,
- Contracts and change orders,
- All **original** invoices, receipts, and canceled checks,
- Original documentation indicating goods were received or services provided,
- Copies of any approvals for exceptions to these *Procedures and Requirements*,
- One (1) copy of each P&E item produced (if originals are not retained, a video or two (2) photos from different angles will suffice), and
- Internally approved Cost Allocation Plan.

Overhead and Indirect Costs

Overhead and indirect costs can be claimed by Grantees. The following guidelines must be used when claiming these costs:

- The total cost of overhead and indirect cost charged to the grant shall not exceed ten percent (10%) of the grant awarded or ten percent (10%) of the grant funds expended, whichever amount is less. These costs are expenditures not capable of being assigned and not readily itemized to a particular project or activity, but considered necessary for the operation of the organization and the performance of the program. The costs of operating and maintaining facilities, accounting services, and administrative salaries are

examples of overhead and indirect costs. All overhead and indirect costs charged to the grant must be associated with grant related activities as shown in the approved Budget.

- Direct costs charged directly to the grant shall not be included in the overhead/indirect cost formula.
- Supervision performed by Managers and Supervisors can be included in the overhead/indirect cost formula; and therefore, will not be a direct charge to the grant. On the other hand, if a Manager or Supervisor performs an activity that is directly related to the execution of the grant (not supervision), costs associated with this activity may be included as a direct charge. Any such activity must be clearly supported by appropriate documentation and shall not be charged to the grant as overhead or indirect cost.
- The Grantees must maintain organized and accurate records that follow generally accepted accounting principles and leave an audit trail. The Grantee must provide access to all documents related to the grant program and fiscal operation of the grant program as deemed necessary by the CIWMB. The Grantees must have on file an internally approved Cost Allocation Plan which specifically documents how the cost amount was established and which is supported by formal accounting records to substantiate the charges. The Cost Allocation Plan must be approved by an appropriate Supervisor/Manager in your agency. The Cost Allocation Plan must identify program elements included in the overhead/indirect cost calculation. See the sample "Cost Allocation Plan" calculation below:

Total department indirect cost divided by total department direct cost base equals indirect cost rate.

Exceptions

Exceptions to the provisions of these *Procedures and Requirements* may be considered on a case-by-case basis. Contact your Grant Manager for instructions on preparing an exception request.

This page had been left intentionally blank

Grant # _____

Grantee _____

Used Oil and Household Hazardous Waste Grant Program

Recycled-Content Certification Form

The recycled content of products purchased with grant funds must be certified in writing (see reportable product categories on page 12). **Information on these products must be included even if they do not contain recycled-content material.**

Grantees: Complete the grant dollars column for each item and have each product supplier complete the rest. A separate form should be used for each supplier. A completed form must be submitted to your CIWMB grant manager with each progress report, when applicable. Purchases made from the product categories listed on the back of this form must meet the minimum recycled content requirements specified.

Product Supplier/Contractor: Complete this form with a row completed for each product supplied. Attach additional sheets if necessary.

Product Supplier _____ Contact Person: _____

Address _____ Phone _____

Fax _____ E-mail _____ Web site _____

Quantity	Unit of Measure	Grant Dollars	Product Description	Product Category ¹	Virgin Content (Percent) ²	Postconsumer Material (Percent) ³	Secondary Material (Percent) ⁴	Total Percent ⁵
500	15 quarts	\$2,425	Used Oil Drain Containers S A M P L E	PL	0%	80%	20%	100%
		\$			%	%	%	100%
		\$			%	%	%	100%
		\$			%	%	%	100%
		\$			%	%	%	100%
		Total: \$						

Public Contract Code sections 10233, 10308.5, and 10354 require all vendors and contractors to certify in writing, under penalty of perjury, the minimum, if not the exact, percentage of postconsumer and secondary material in the products, materials, goods, or supplies offered or sold.

Public Contract Code sections 12213, 12205(a) require all local and State public agencies to require all contractors to certify in writing, under penalty of perjury, the minimum, if not the exact percentage, of postconsumer and secondary material in the products, materials, goods, or supplies offered or sold.

Printed name of person completing form

Title

Signature of person completing form

Date

1. **Product Categories:** purchases made with grant funds from the categories below are “reportable” and must meet the minimum recycled content requirements specified. For products made from multiple materials, choose the category that comprises most of the product, either by a weight or volume criteria.

Paper products (PP) (50% Recycled, 10% Post-consumer) *paper janitorial supplies, corrugated boxes, paperboard (boxes, cartons, wrapping), hanging files, file boxes, building insulation, and containers.*

Printing and writing paper (PW) (30% Post-consumer) *xerographic, and higher-grade papers, high-speed copier paper, offset paper, forms, carbonless paper, ruled tablets, calendars, posters, manila file folders, index cards, white wove envelopes, and cover stock.*

Plastic products (PL) (50% Recycled, 10% Post-consumer) *funnels, used oil drain containers, toner cartridges, carpet, office products, plastic lumber, buckets, waste baskets, benches, tables, fencing, clothing, packaging, signs, posts, binders, buckets and building products.*

Compost and co-compost (CO) (50% Recycled, 10% Post-consumer) *landscaping materials, erosion control, weed control, decomposed organic yard, or food materials.*

Glass products (GL) (50% Recycled, 10% Post-consumer) *windows, fiberglass (insulation), tiles, construction blocks, and flat glass sheets.*

Lubricating oils (LO) (50% Recycled, 10% Post-consumer) *motor, transmission fluids, power steering, crankcase, transformer dielectric fluids, gear, hydraulic, industrial fluids, base stock, for tractors, vehicles, fleet cars, trucks, and buses.*

Paint (PT) (50% Recycled, 10% Post-consumer) *latex paint, interior/exterior, and maintenance.*

Solvents (SO) (50% Recycled, 10% Post-consumer) *heavy printer cleaner, auto degreaser, and parts cleaner*

Tire-derived products (TD) (50% Post-consumer) *flooring, wheelchair ramps, playground cover, track surfacing, recreational surfacing, parking bumpers, truck-bed liners, pads, walkways, tree ties, road surfacing, wheel chocks, rollers, traffic control products and mud flaps, posts*

Tires (TI) (50% Recycled, 10% Post-consumer) *passenger, truck, bus, and trailer/equipment tire.*

Steel products (ST) (25% Recycled, 10% Post-consumer) *automobiles, trucks, staplers, paper clips, steel furniture, scissors, pipe, plumbing fixtures, chairs, ladders, and shelving*

2. **Virgin Content Material** is that portion of the product made from non-recycled material, that is, the material is neither secondary nor postconsumer material.
3. **Post-consumer Material** is defined as “a finished material which would have been disposed of as a solid waste, having completed its life cycle as a consumer item, and does not include manufacturing wastes.” This is material such as newspaper that you read and was recycled and then made into recycled-content newsprint or some other recycled product. Postconsumer material is generally any product that was bought by the consumer, used, and then recycled into another product.
4. **Secondary Material** is defined as “fragments of finished products or finished products of a manufacturing process, which has converted a resource into a commodity of real economic value, but does not include excess virgin resources of the manufacturing process.” This is material such as newsprint that is trimmed from a roll in the paper plant that is returned to the beginning of the process to make recycled-content newsprint. The material (product) did not get to the consumer before being recycled. Secondary material **does not** include postconsumer material.

The sum of the virgin column, the post-consumer column, and the secondary column must equal 100 percent.

Example: if a printing and writing paper contained 20 percent postconsumer material, you would indicate 20 percent in the postconsumer column and 80 percent in the virgin column. If the product had 40 percent secondary material and 20 percent postconsumer material, you would indicate 40 percent in the secondary column, 20 percent in the postconsumer column, and 40 percent in the virgin column. To meet the 50/10 content requirement of another product category, the product would contain 50 percent recycled-content (40 percent secondary and 10 percent postconsumer material) and 50 percent virgin material.

